

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:
Young et al.

Docket No.: PF383D1

Application No.: Not Yet Assigned

Group Art Unit: N/A

Filed: Herewith

Examiner: Not Yet Assigned

For: Heregulin-like Factor

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure imposed by 37 C.F.R. § 1.56 to inform the Patent and Trademark Office of all references coming to the attention of each individual associated with the filing or prosecution of the subject application, which are or may be material to the patentability of a claim of the subject application, Attorney for Applicants hereby directs the Examiner's attention to references A-U listed on the attached Form SB/08.

Copies of references A-U were submitted by Applicants or cited by the Examiner in connection with United States Patent Application No. 09/097,681, filed on June 16, 1998, to which the instant application claims priority under 35 U.S.C. § 120. Pursuant to 37 C.F.R. § 1.98(d), the Examiner is directed to the file of United States Patent Application No. 09/097,681 for copies of references A-U.

The listed references are presented so that the Patent and Trademark Office can determine any materiality thereof to the claimed invention. See 37 C.F.R. § 1.104(a) concerning the Examiner's duty to consider and use any such information. Applicants respectfully request that the Examiner make the listed references of record in the file history of the application, and consider the information contained therein during the prosecution of this application.

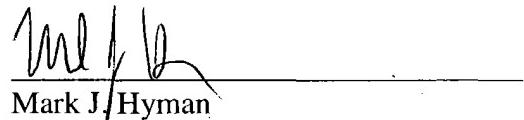
Identification of the listed references is not to be construed an admission of any individual associated with the filing or prosecution of the subject application that such references are available as "prior art" against the subject application. Furthermore, Applicants

do not waive any rights to take appropriate action to establish patentability over any of the listed documents should they be applied as references against the claims of the subject application.

Pursuant to 37 C.F.R. § 1.97(b), this Information Disclosure Statement is being filed before the mailing of a first Office Action on the merits. Accordingly, no fee is believed due. However, should the Patent Office determine otherwise, please charge the required fee to our Deposit Account No. 08-3425.

Respectfully submitted,

Dated: July 1, 2003


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Substitute for form 1449/PTO				<i>Complete if Known</i>	
				Application Number	Not Yet Assigned
				Filing Date	Concurrently Herewith
				First Named Inventor	Paul E. Young
				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	1	of	3	Attorney Docket Number	PF383D1

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code ² (if known)			
A	US-6,096,871	08-01-2000	Presta et al.		
B	US-6,121,415-B1	09-19-2000	Godowski et al.		
C	US-6,252,051-B1	06-26-2001	Godowski et al.		

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)			
D	WO-99/02681-A9		01-21-1999	Genentech, Inc.	T ⁶

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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NON PATENT LITERATURE DOCUMENTS						
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				T ²
	E	LEWIS et al., "Growth Regulation of Human Breast and Ovarian Tumor Cells by Heregulin: Evidence for the Requirement of ErbB2 as a Critical Component in Mediating Heregulin Responsiveness," <i>Cancer Res.</i> , 56:1457-1465 (Mar. 1996)				
	F	ZHANG et al., "Neuregulin-3 (NRG3): A novel neural tissue-enriched protein that binds and activates ErbB4," <i>PNAS USA</i> , 94:9562-9567 (Sep. 1997)				
	G	HOLMES et al., "Identification of Heregulin, a Specific Activator of p185erbB2," <i>Science</i> , 256:1205-1210 (May 22, 1992)				
	H	GEORGE et al., "Macromolecular Sequencing and Synthesis: Selected Methods and Application," Schlesinger, D.H. (eds.), Alan R. Liss, Inc., New York, NY, pp. 127-149 (1988)				
	I	WILSON, R.K., "The WashU-Merck EST Project," GenBank Accession No. H50042 (Sep. 18, 1995)				
	J	WILSON, R.K., "The WashU-Merck EST Project," GenBank Accession No. H49100 (Sep. 18, 1995)				
	K	WILSON, R.K., "The WashU-Merck EST Project," GenBank Accession No. H23651 (Jul. 6, 1995)				
	L	CULOUSCOU et al., "Characterization of a breast cancer cell differentiation factor that specifically activates the HER4/P180ERB4 receptor," <i>J. Biol. Chem.</i> , 268(25):18407-18410 (1993)				
	M	GARRAWAY et al., "Neuregulin-2, a new ligand of Erb3/Erb4-receptor tyrosine kinase," <i>Nature</i> , 387:512-516 (1997)				
	N	GASSMANN et al. "Aberrant neural and cardiac development in mice lacking the ErB4 neuregulin receptor," <i>Nature</i> , 378(6555):390-394 (1995)				
	O	HIZAJI et al. "NRG-3 in human breast cancers: Activation of multiple erbB family proteins," <i>Int'l. J. Oncology</i> , 13(5):1061-1067 (1998)				
	P	LAVERRIERE et al. "GATA-4/5/6, a subfamily of three transcription factors transcribed in developing heart and gut," <i>J. Biol. Chem.</i> , 269(37):23177-23184 (1994)				
	Q	PLUMB et al., "Human DNA sequence from clone RP1-185K11," Database EMBL 'Online' Accession No. AL136085 (Jan. 7, 2000)				
	R	BOWIE et al., "Deciphering the Message in Protein Sequences: Tolerance to Amino Acid Substitutions," <i>Science</i> , 247:1306-1310 (1990)				
	S	LAZAR et al., "Transforming Growth Factor Alpha: Mutation of Aspartic Acid 47 and Leuine 48 Results in Different Biological Activities," <i>Molec. and Cell. Biol.</i> , 8:1247-1252 (1988)				

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Sheet	3	of	3	Attorney Docket Number	PF383D1

T	BURGESS et al., "Possible Dissociation of the Heparin-binding and Mitogenic Activities of Heparin-binding Growth Factor-1 from Its Receptor-binding Activities by Site-directed Mutagenesis of a Single Lysine Residue," <i>J. Cell. Biol.</i> , 111:2129-2138 (1990)	
U	BORK, P., "Powers and the pitfalls in sequence analysis," <i>Genome Res.</i> , 10:398-400 (2000)	

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